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| Contact Person | Lynnette Witt | Revision | 1 |
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PROMOTION PROCEDURE FOR AMES LABORATORY SCIENTISTS (P38, P39, AND P40)

1.0 APPROVAL RECORD

- Reviewed by: Document Control Program Assistant (Molly Granseth)
- Approved by: Interim Manager, Human Resources (Lynnette Witt)
- Approved by: Chief Operations Officer (Mark Murphy)
- Approved by: Chief Research Officer (Duane Johnson)

The official approval record for this document is maintained in the Human Resources Office, 151 TASF.

2.0 REVISION/REVIEW INFORMATION

The revision description for this document is available from and maintained by the author.

3.0 PURPOSE AND SCOPE

The purpose of this procedure is to document the process by which Ames Laboratory scientific staff aspiring to the levels of Scientist I, II, and III (P38, P39, and P40) are evaluated within the Ames Laboratory for promotion.

3.1. Definitions

- **Position Description (PD):** A description of job duties and responsibilities as documented through the on-line Hiring and Classification System of Iowa State University (ISU).
- **Promotion Coordinator:** Named by the Ames Laboratory Director, this individual has the appropriate scientific background for oversight of the promotion process of Ames Laboratory scientists. The promotion coordinator is currently the Chief Research Officer of the Ames Laboratory.
- **Scientific and Technical Review Committee (STRC):** This committee is established by the promotion coordinator for the purpose of reviewing promotion requests for Ames Laboratory scientists aspiring to the levels of Scientist I, II, or III. The committee shall consist of a balanced mix of A (or B) and P-base positions. When possible, the members of the STRC shall have a classification level equivalent to or greater than the classification for which the candidate being reviewed is aspiring to achieve.
- **P&S Level Descriptions:** Generic descriptions within the Ames Laboratory for the scientific series describing standard qualifications, duties, and responsibilities for positions at various titles/paygrades.

4.0 ROLES AND RESPONSIBILITIES

4.1 Promotional Candidate

Professional and Scientific (P&S) employees aspiring to classifications of Scientist I (P38), Scientist II (P39), or Scientist III (P40) may initiate a request for promotion by completing a PD outlining their current duties and responsibilities. The promotional candidate submits the PD to their immediate supervisor for review. In addition, the promotional candidate submits an updated curriculum vitae utilizing the standardized

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Ames Laboratory format and a statement that succinctly documents the relevance of the candidate's work to their chosen field, especially to support the various requirements for promotion to appropriate level. The statement should outline the role played in research projects as major contributions, mentoring or supervising of postdocs, students or other scientific staff, and their role in obtaining research funds.

4.2 Immediate Supervisor

The immediate supervisor reviews the PD for accuracy and completeness. If the supervisor supports the request for promotion, the supervisor prepares a written recommendation for promotion and forwards the recommendation, PD, curriculum vitae, and candidate's personal statement to the corresponding Ames Laboratory division/institute/program director (herein referred to as program director).

4.3 Ames Laboratory Program Director

The Ames Laboratory program director reviews the documents submitted, and if the request is supported, submits the documents to the Ames Laboratory Manager of Human Resources. The program director should attach a letter of recommendation or a concurrence to the letter written by the supervisor.

4.4 Human Resources Manager

Human Resources is responsible for initially reviewing the PD for completeness and appropriateness to the requested classification. If the review is satisfactory, the promotion request will be forwarded to the promotion coordinator. Throughout the process, Human Resources will work directly with the Chair of the STRC to facilitate the STRC review. The official file for the promotion review will be maintained by Human Resources and they will submit the PD to ISU for final review.

4.5 Promotion Coordinator

The promotion coordinator will establish the STRC and provide the Chair of the committee with the candidates' promotional materials; the promotion procedure; the Committee charge document; and the template for external review letters. The promotion coordinator will notify the promotional candidate, the immediate supervisor, and the corresponding program director of the identity of the Chair of the STRC.

The promotion coordinator will review the final recommendation of the STRC and submit a recommendation to the Ames Laboratory Director for final approval. If the Director accepts the promotion recommendation, the promotion coordinator will direct Ames Laboratory Human Resources to submit the promotion request to ISU. At this time, the promotion coordinator will also inform the candidate and program director that the STRC has recommended the promotion, and that the request is being submitted to ISU for final review.

When ISU has made its final determination, the promotion coordinator will inform the candidate, supervisor and program director of the final decision via written communication, which includes a copy of the STRC summary. If the promotion is not approved, qualifications or accomplishments required before reconsideration for promotion will be communicated.

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4.6 STRC Chair

The STRC Chair will be the only known committee member to the promotional candidate, immediate supervisor, and corresponding program director. As such, all communication regarding the STRC review will be accomplished through the Chair.

5.0 PREREQUISITE ACTIONS AND REQUIREMENTS

No prerequisite actions or requirements are needed for implementation of this procedure.

6.0 PROGRAM/POLICY/PROCEDURE INFORMATION

6.1 Step 1: Professional and Scientific employees aspiring to grade P38, P39, or P40 may initiate a request for promotion themselves. The employee's immediate supervisor or the responsible Ames Laboratory program director may also initiate the request. The request shall be sent to the Ames Laboratory Human Resources Manager and will include the candidate's current resumé (or curriculum vitae), a personal statement from the candidate succinctly documenting their contribution and its relevance to their chosen field, as well as areas of leadership, mentoring, etc., and a written recommendation from the [supervisor and recommendation or concurrence from the division/institute](#)/program director regarding the promotion. Also included in the request will be a current position description, which will be reviewed by Ames Laboratory Human Resources for conformance to the level requested. The Human Resources Manager will forward the request to the promotion coordinator (person with scientific background named by the Ames Laboratory Director).

6.2 Step 2: A Scientific and Technical Review Committee (STRC) will be appointed by the promotion coordinator to review each candidate for promotion. The committee should be composed of five members, including a chair, who have knowledge of the candidate's technical field. The STRC membership shall consist of a balanced mix of A (or B) and P-base positions. When possible, the members of the STRC shall have a classification equivalent to or greater than the classification for which the candidate is being reviewed. The candidate may submit to the promotion coordinator the name of individuals who the candidate may wish to exclude from the STRC for personal reasons. The STRC shall review the candidate's accomplishments. Criteria for promotion are outlined in the Ames Laboratory's (HR) P&S Level Descriptions, which are generic descriptions for positions at the various levels. These generic descriptions describe the typical duties and responsibilities associated with a position at the respective level – it is not necessary for the individual to be performing all the typical duties and responsibilities in order to fit the specific classification.

6.3 Step 3: The activity of the committee shall remain confidential. The identity of the STRC Chair will be made known to the candidate; other members will not be identified. All communications between the STRC and the candidate shall be made via the STRC Chair.

6.4 Step 4: The STRC will, within one month of its formation, perform a preliminary screening of the application for promotions. This effort will involve a screening of the recent resumé, the supervisor's letter (and program manager's, if added), and the position description. It may also include, with the candidate's assent, a review of the

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results of recent annual performance appraisals. Maintaining the confidentiality of the committee, the STRC chair may also, as deemed necessary, meet with the candidate's supervisor and the responsible program director to aid in the committee's assessment. This screening will establish whether the candidate has serious shortcomings (e.g., insufficient publication record, insufficient evidence of creative output, etc.) that eliminate the possibility of a favorable recommendation from the STRC. In the event of a negative conclusion, the result of this screening will be communicated to the promotion coordinator and the Ames Laboratory Director for review. Normally, a negative STRC recommendation will be accepted and the promotion coordinator will be directed to communicate the STRC decision to the candidate along with information about how the candidate could improve his/her chances of future promotion. In the event of a favorable conclusion, the STRC will proceed to Step 5.

- 6.5 Step 5:** Further deliberations of the STRC will be based on written assessments of the candidate's accomplishments and standing among his/her peer group. A sufficient number of assessments shall be sought from external reviewers to perform a fair review, with a number on the order of six to ten. Assessments or Letters of Recommendation from inside the Ames Laboratory or ISU will not be considered. However, the committee may seek internal letters to support their assessment of a candidate's Ames Lab leadership roles, perhaps not evident externally, and detailed in the Chair's recommendation letter (see Step 6). The STRC Chair will ask the candidate and supervisor or program director for names, addresses and phone number of individuals who can serve as reviewers. The committee will select a subset of these individuals and add additional names of the committee's choosing. Letters of evaluation from the reviewers will be sought and evaluated within three months of the committee's formation.
- 6.6 Step 6:** The STRC review shall be completed by making a recommendation on promotion, based on the above information, to the promotion coordinator. This recommendation will be based on the vote of the STRC, after review of the letters, with a majority prevailing. The STRC Chair's recommendation letter (addressed to the Lab Director) will contain a cover letter, signed by all, which includes a summary of the review, the recommended decision and its rationale, and any minority report desired by committee members in the event that the vote is not unanimous. Also included will be the summary of the findings suitable for transmittal to the employee. The promotion coordinator will in turn submit a written recommendation to the Ames Laboratory Director for final decision. The final decision will be communicated to the promotion coordinator.
- 6.7 Step 7:** If promotion is recommended, the promotion coordinator shall inform the candidate, supervisor and program director in writing, with a copy of the STRC summary attached. He/she shall direct the Ames Lab Human Resources Office to forward the request to the appropriate University office. Detailed procedures for how such requests are reviewed further within the University system can be found in the ISU Policy Manual.
- 6.8 Step 8:** In the event the promotion is not approved, the promotion coordinator shall inform the candidate, supervisor and program director in writing, with a copy of the STRC summary report attached. He/she should also inform the Ames Lab Human

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Resources Office of this result. If certain qualifications or accomplishments are required before reconsideration for promotion, those requirements shall be stated clearly in the promotion coordinator's communication. The supervisor and program director should discuss with the candidate possibilities and means for attaining the qualifications necessary for reconsideration.

7.0 POST PERFORMANCE ACTIVITY

All documents related to the promotion procedure shall be maintained in the Human Resources Office. Only the STRC summary statement would be included in the promotional candidate's personnel file.

8.0 References

Ames Laboratory Committee Charge

Ames Laboratory External Evaluation Template

Ames Laboratory P&S Scientific Level Descriptions